



PATENT  
Customer No. 22,852  
Attorney Docket No. 08513.7033.00000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Carter et al.

Application No.: 09/868,351

Filed: June 15, 2001

For: ORGANIC LIGHT-EMITTING  
DEVICES

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)  
) Group Art Unit: unknown  
)  
) Examiner: unknown  
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Assistant Commissioner for Patents  
Washington, DC 20231

TRANSMITTAL LETTER

Enclosed are the following documents for filing:

- X Supplement to Information Disclosure Statements Filed August 20, 2001 and  
September 7, 2001

Please grant any extensions of time required to enter this response and charge any  
required fees to our deposit account 06-0916.

Dated: September 17, 2001

By: Therese A. Hendricks  
Therese A. Hendricks  
Reg. No. 30,389

LAW OFFICES

NEGAN, HENDERSON,  
ARABOW, GARRETT,  
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300 I STREET, N. W.  
WASHINGTON, DC 20005  
202-408-4000



PATENT  
Customer No. 22,852  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Carter et al. ) Group Art Unit: unknown  
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Application No.: 09/868,351 ) Examiner: unknown  
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Filed: June 15, 2001 )  
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For: ORGANIC LIGHT-EMITTING )  
DEVICES )

Assistant Commissioner for Patents  
Washington, DC 20231

**SUPPLEMENT TO INFORMATION DISCLOSURE STATEMENTS  
FILED AUGUST 20, 2001 AND SEPTEMBER 7, 2001**

For the convenience of the examiner, applicant hereby encloses a copy of the search report issued by the British Patent Office in priority case GB 9827699.1, from which the references noted in applicant's Information Disclosure Statement filed August 20, 2001 are listed, and copies of the International Search Report and International Preliminary Examination Report in priority case PCT/GB99/04150, from which the references noted in applicant's September 7, 2001 Information Disclosure Statement are listed.

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202-408-4000

Please grant any extensions of time required to enter this response and charge any additional required fees to our deposit account 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: September 17, 2001

By:   
Therese A. Hendricks  
Reg. No. 30,389

LAW OFFICES

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202-408-4000



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**PLEASE STAMP TO ACKNOWLEDGE RECEIPT OF THE FOLLOWING:**

In Re Application of: Carter et al.

Serial No.: 09/868,351

Filed: June 15, 2001

For: ORGANIC LIGHT-EMITTING DEVICES

Group Art Unit: unknown

Examiner: unknown

- 
1. Information Disclosure Statement
  2. PTO Form 1449
  3. Transmittal Letter

Dated September 7, 2001

Docket No.: 08513.7033.00000

TAH/doyle - Mail Drop CAMBRIDGE

(Due Date: n/a)



PATENT  
Customer No. 22,852  
Attorney Docket No. 08513.7033.00000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
)  
Carter et al. ) Group Art Unit: unknown  
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Application No.: 09/868,351 ) Examiner: unknown  
)  
Filed: June 15, 2001 )  
)  
For: ORGANIC LIGHT-EMITTING )  
DEVICES )

Assistant Commissioner for Patents  
Washington, DC 20231

TRANSMITTAL LETTER

Enclosed are the following documents for filing:

- ☒ Information Disclosure Statement
- ☒ PTO Form 1449

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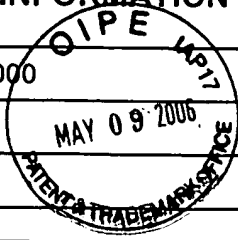
Dated: September 6, 2001

By: Therese A. Hendricks  
Therese A. Hendricks  
Reg. No. 30,389

LAW OFFICES

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WASHINGTON, DC 20005  
202-408-4000

## INFORMATION DISCLOSURE CITATION



|                  |                  |            |            |
|------------------|------------------|------------|------------|
| Atty. Docket No. | 08513.7033-00000 | Serial No. | 09/868,351 |
| Applicant        | Carter et al.    |            |            |
| Filing Date      | June 15, 2001    | Group:     | unknown    |

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## U.S. PATENT DOCUMENTS

| Examiner Initial* | Document Number | Issue Date | Name               | Class | Sub Class | Filing Date If Appropriate |
|-------------------|-----------------|------------|--------------------|-------|-----------|----------------------------|
|                   | 4,647,813       | 3/3/1987   | Kitabayashi et al. | 313   | 509       | 11/29/1984                 |
|                   | 5,739,545       | 4/14/1998  | Guha et al.        | 257   | 40        | 2/4/1997                   |
|                   |                 |            |                    |       |           |                            |

## FOREIGN PATENT DOCUMENTS

| Document Number | Publication Date | Country | Class | Sub Class | Translation Yes or No |
|-----------------|------------------|---------|-------|-----------|-----------------------|
| EP 0901176 A2   | 10.03.1999       | Europe  |       |           |                       |
| EP 0903964 A1   | 24.03.1999       | Europe  |       |           |                       |
| WO 97/32452     | 04.09.97         | PCT     |       |           |                       |
|                 |                  |         |       |           |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |  |
|--|--|
|  | Gyoutoku et al., "Organic Electroluminescent Dot-Matrix Display Using Carbon Underlayer," Proceedings of the 1997 International Conference on Electroluminescence of Molecular Materials and Relaxed Phenomena," Fukuoka, Japan, May 1-24, 1997, vol. 91, no. 1-3, 21 May 1997, pp. 73-75, XP000890057; Synth Met; Synthetic Metals, December 1997, Elsevier Science S.A., Lausanne, Switzerland, pp. 73-75, paragraph 3 |
|  | Jabbour et al., "Aluminum Based Cathode Structure For Enhanced Electron Injection Inelectroluminescent Organic Devices," Applied Physics Letters, US, American Institute of Physics, New York, vol. 73, no. 9, 31 August 1998, pp. 1185-1187, XP000781203, ISSN: 0003-6951 abstract  |

|   |   |
|---|---|
| Examiner  | Date Considered   |
| *Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |   |
| Form PTO 1449   | Patent and Trademark Office - U.S. Department of Commerce |

**In re Application of:**

Group Art Unit: 1774

Examiner: Thompson, Camie S.

## Mail Stop AF

**COPY**

on January 21, 2004

**Date**

**Judi Williams**

**Sir:**

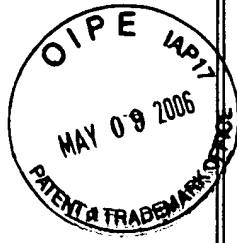
## TRANSMITTAL

- Supplemental Enclosure to Information Disclosure Statement filed January 12, 2004
- Copy of Information Disclosure Statement filed January 12, 2004
- PTO Form-1449 with copies of cited reference

Respectfully submitted,  
FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: Jan 21, 2004

By: Therese A. Hendricks  
Therese A. Hendricks  
Reg. No. 30,389



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

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Application No.: 09/868,351

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) Examiner: unknown  
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Assistant Commissioner for Patents  
Washington, DC 20231


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Enclosed are the following documents for filing:

- X Information Disclosure Statement
- X PTO Form 1449
- X Request for Change of Correspondence Address

Please grant any extensions of time required to enter this response and charge any required fees to our deposit account 06-0916.

Dated: August 20, 2001

By:   
Therese A. Hendricks  
Reg. No. 30,389





PATENT  
Customer No. 22,852  
Attorney Docket No. 08513.7033.00000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Application No.: 09/868,351 ) Examiner: unknown  
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Filed: June 15, 2001 )  
)  
For: ORGANIC LIGHT-EMITTING )  
DEVICES )

Assistant Commissioner for Patents  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

Pursuant to 37 C.F.R. §§ 1.56 and 1.97(b), applicant brings to the attention of the Examiner the documents listed on the attached PTO 1449. This Information Disclosure Statement is being filed within three months of the date of entry of the national stage in an international application.

Copies of the listed documents are enclosed.

Applicant respectfully requests that the Examiner consider the listed documents and indicate that they were considered by making appropriate notations on the attached form.

In lieu of a statement of relevance or translation of the non-English documents, an English language version of a search report from the European Patent Office in corresponding application no. PCT/GB99/04150 citing these documents and setting forth the relevance thereof is enclosed.

LAW OFFICES  
EGAN, HENDERSON,  
RABOW, GARRETT,  
DUNNER, L.L.P.  
301 I STREET, N.W.  
WASHINGTON, DC 20005  
202-408-4000

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This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the listed documents are material or constitute "prior art." If the Examiner applies any of the documents as prior art against any claim in the application and applicant(s) determine(s) that the cited document(s) do not constitute "prior art" under United States law, applicant reserves the right to present to the office the relevant facts and law regarding the appropriate status of such documents.


Applicant further reserves the right to take appropriate action to establish the patentability of the disclosed invention over the listed documents, should one or more of the documents be applied against the claims of the present application.

If there is any fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: August 20, 2001

By: 

Therese A. Hendricks  
Reg. No. 30,389

## INFORMATION DISCLOSURE CITATION

|                  |                  |            |            |
|------------------|------------------|------------|------------|
| Atty. Docket No. | 08513.7033.00000 | Serial No. | 09/868,351 |
| Applicant        | Carter et al.    |            |            |
| Filing Date      | June 15, 2001    | Group:     |            |

## U.S. PATENT DOCUMENTS

| Examiner Initial* | Document Number | Issue Date | Name | Class | Sub Class | Filing Date If Appropriate |
|-------------------|-----------------|------------|------|-------|-----------|----------------------------|
|                   |                 |            |      |       |           |                            |
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## FOREIGN PATENT DOCUMENTS

| Document Number | Publication Date | Country | Class | Sub Class | Translation Yes or No |
|-----------------|------------------|---------|-------|-----------|-----------------------|
| EP 0822603 A2   | 04.02.1998       | Europe  |       |           |                       |
| WO 96/29747     | 26.09.96         | PCT     |       |           |                       |
| WO 96/26830     | 06.09.96         | PCT     |       |           |                       |
|                 |                  |         |       |           |                       |
|                 |                  |         |       |           |                       |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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| Examiner   | Date Considered   |
| <p>*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p> |   |
| Form PTO 1449  | Patent and Trademark Office - U.S. Department of Commerce |

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Attorney Docket No. 08513.7033-00000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

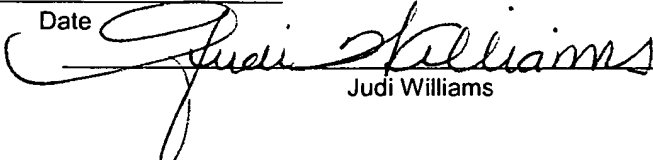
In re Application of: )  
)  
Carter et al. ) Group Art Unit: 1774  
)  
Serial No.: 09/868,351 ) Examiner: Thompson, Camie S.  
)  
Filed: October 2, 2001 )  
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For: ORGANIC LIGHT-EMITTING )  
DEVICES )  
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CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Services under 37 C.F.R. § 1.8 on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

on January 21, 2004

Date

  
Judi Williams

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**SUPPLEMENTAL ENCLOSURE**  
**TO INFORMATION DISCLOSURE STATEMENT FILED JANUARY 12, 2004**

Applicant submits herewith an English language translation of the Japanese office action dated November 21, 2003 and December 2, 2003 (from corresponding Japanese application 2000-588818) which was previously cited in an Information

Disclosure Statement filed January 12, 2004 (copy enclosed). Applicant respectfully requests that the Examiner initial and make of record the references in the IDS of January 12, 2004 and the enclosed PTO Form 1449.

If there is any additional fee due in connection with the filing of this Statement, please charge the fee to our Deposit Account No. 06-0916.

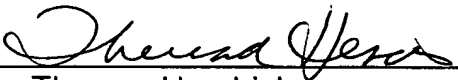
Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated:

*Jan 21, 2004*

By:



Therese Hendricks

Reg. No. 30,359



## INFORMATION DISCLOSURE CITATION

OMB No. 0651-0011

|                             |                       |
|-----------------------------|-----------------------|
| Atty. Docket No. 09/868,351 | Appln. No. 09/868,351 |
| Applicant Carter et al.     |                       |
| Filing Date October 2, 2001 | Group: 1774           |

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## U.S. PATENT DOCUMENTS

| Examiner Initial* | Document Number | Issue Date | Name | Class | Sub Class | Filing Date If Appropriate |
|-------------------|-----------------|------------|------|-------|-----------|----------------------------|
|                   |                 |            |      |       |           |                            |
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## FOREIGN PATENT DOCUMENTS

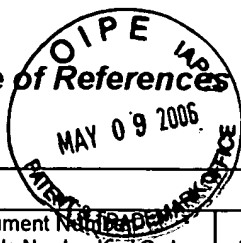
| Document Number | Publication Date | Country | Class | Sub Class | Translation Yes or No                   |
|-----------------|------------------|---------|-------|-----------|---|
| 03-008375       | 16-01-1991       | JP      |       |           | English abstract                        |
| 04-014794       | 20-01-1992       | JP      |       |           | English abstract                        |
| 04-276668       | 01-10-1992       | JP      |       |           | English abstract                        |
| 09-260062       | 03-10-1997       | JP      |       |           | English abstract<br>English translation |
|                 |                  |         |       |           |   |

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

|  |
|--|
| Copy of Japanese office action dated November 21, 2003 and December 2, 2003 in corresponding Japanese Application 2000-588818. |
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|---|---|
| Examiner  | Date Considered   |
| *Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |   |
| Form PTO 1449   | Patent and Trademark Office - U.S. Department of Commerce |

# Notice of References Cited



|                                      |  |  |             |
|--------------------------------------|--|--|-------------|
| Application/Control No<br>09/868,351 |  | Applicant(s)/Patent Under<br>Reexamination<br>CARTER ET AL |             |
| Examiner<br>Camie S Thompson         |  | Art Unit<br>1774   | Page 1 of 1 |

## U.S. PATENT DOCUMENTS

| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Name              | Classification |
|---|---|--|-----------------|-------------------|----------------|
|   | A | US-5,482,896                                     | 01-1996         | Ching W. Tang     | 437/209        |
|   | B | US-5,530,269                                     | 06-1996         | Ching W. Tang     | 257/88         |
|   | C | US-6,091,078                                     | 07-2000         | Misufumi Codama   | 257/40         |
|   | D | US-5,776,622                                     | 07-1998         | Hung et al        | 428/690        |
|   | E | US-6,416,885                                     | 07-2002         | Towns et al       | 428/690        |
|   | F | US-5,920,080                                     | 07-1999         | Gary W. Jones     | 257/40         |
|   | G | US-5,798,170                                     | 08-1998         | Zhang et al       | 428/212        |
|   | H | US-5,739,545                                     | 04-1998         | Guba et al        | 257/40         |
|   | I | US-4,647,813                                     | 03-1987         | Kitabayashi et al | 313/509        |
|   | J | US-  |                 |                   |                |
|   | K | US-  |                 |                   |                |
|   | L | US-  |                 |                   |                |
|   | M | US-  |                 |                   |                |

## FOREIGN PATENT DOCUMENTS

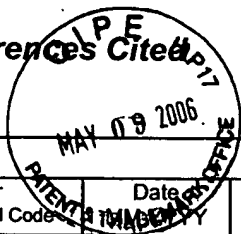
| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Country | Name        | Classification |
|---|---|--|-----------------|---------|-------------|----------------|
|   | N | JP 08-0080654                                    | 01-1996         | Japan   | Ito, Yuichi |                |
|   | O |  |                 |         |             |                |
|   | P |  |                 |         |             |                |
|   | Q |  |                 |         |             |                |
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## NON-PATENT DOCUMENTS

| * |   | Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages) |
|---|---|---|
|   | U |   |
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|   | X |   |

\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

**Notice of References Cited**



Application/Control No.

09/868,351

Applicant(s)/Patent Under  
Reexamination  
CARTER ET AL.

Examiner

Camie S Thompson

Art Unit

1774

Page 1 of 1

**U.S. PATENT DOCUMENTS**

| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Name             | Classification |
|---|---|--|-----------------|------------------|----------------|
|   | A | US-5,483,120                                     | 01-1996         | Murakami, Hiroki | 313/506        |
|   | B | US-  |                 |                  |                |
|   | C | US-  |                 |                  |                |
|   | D | US-  |                 |                  |                |
|   | E | US-  |                 |                  |                |
|   | F | US-  |                 |                  |                |
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| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Country | Name | Classification |
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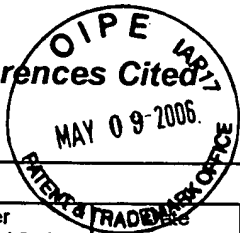
**NON-PATENT DOCUMENTS**

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Application/Control No.

09/868,351

Applicant(s)/Patent Under  
Reexamination  
CARTER ET AL.

Examiner

Camie S Thompson

Art Unit

1774

Page 1 of 1

**U.S. PATENT DOCUMENTS**

| * |   | Document Number<br>Country Code-Number-Kind Code | Date<br>MM-YYYY | Name            | Classification |
|---|---|--|-----------------|-----------------|----------------|
|   | A | US-5,821,539                                     | 10-1998         | Matz et al.     | 250/370.01     |
|   | B | US-5,314,207                                     | 05-1994         | Camfield et al. | 280/828        |
|   | C | US-6,566,676                                     | 05-2003         | Kuwabara, Takao | 250/591        |
|   | D | US-  |                 |                 |                |
|   | E | US-  |                 |                 |                |
|   | F | US-  |                 |                 |                |
|   | G | US-  |                 |                 |                |
|   | H | US-  |                 |                 |                |
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|---|---|---|
|   | U |   |
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\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).)  
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